

Tracking Engines for Averaging, Banking, and Trading

Section I: Engine Supplier Data

To be completed by the engine manufacturer participating in the Averaging, Banking, and Trading program.

Complete one sheet for each engine purchaser.

Complete the top portion with the model year of the engine families involved, your company name, and a personnel contact and telephone number.

Complete the center portion, listing one line for each family number (omit EPA's within an engine family). Fill out the EPA designated engine family name, the applicable FEL, the beginning and ending engine numbers of the engines with that family number, and the volume of those engines that were shipped to the engine purchaser.

Send to the engine purchaser for completion of the Engine Purchaser Data.

For engines that are not sold by the engine purchaser to a location defined as a point of first retail sale, additional tracking of the engines will be required in order to qualify those engines for credit generation or to validate those engines from credit usage in the program.

Upon completion of all necessary data items, maintain a copy of this information to be kept with other averaging, banking, and trading related records.

Section II: Engine Purchaser Data

To be completed by the customer of an engine manufacturer participating in the Averaging, Banking, and Trading program.

Complete the top portion with your company name, a personnel contact, and telephone number.

Verify that the number of engines indicated in the Engine Supplier Data section under "Volume Shipped" is the number of engines that you have purchased from the engine supplier. Verify that the engine family number is within the indicated engine families.

Complete the data requested in the center portion of this section. For each category of engine, indicate:

- a) the number of engines within that engine family that were shipped to a location defined as a point of first retail sale in the 49 States;
- b) the number of engines within that engine family with the associated FEL that have been shipped to a location in the 49 States that is not a point of first retail sale; and
- c) the number of engines within that engine family with the associated FEL that have been shipped to a point of first retail sale in California.

Confirm that any engines in either of these categories

Verify that the sum of the engine volume data requested for each engine family is the number of engines that you have purchased from that engine family that you have already shipped to your customers. Also verify that the difference between this sum and the number of engines indicated under Section I, "Volume Shipped," is the number of engines in each engine family that you have not yet shipped to a customer.

For those engines that you have shipped to a location not defined as a point of first retail sale, you must indicate the location and obtain additional information in order to continue tracking those engines.

Read and sign the statement below.

Upon completion, return to the Engine Supplier.

Definitions

Point of First Retail Sale: a new vehicle drive-away destination, where the unit was purchased as finished vehicle. This location would be a dealer, body shop, or other location where the engine was sold directly to the end user; the point of first retail sale would be the end user.

49 States: U.S. territories and possessions are excluded from the 49 States. California is excluded from the 49 States. States which have California heavy-duty standards in effect, Canada, or other countries are not considered 49 States sales.

